DOCUMENT RESUME

ED 428 529 EF 005 311

TITLE	Capital Improvement Project Workshops: Anchorage--May 15, 1998; Juneau--May 19, 1998.
INSTITUTION	Alaska State Dept. of Education, Juneau.
PUB DATE	1998-00-00
NOTE	69p.
PUB TYPE	Guides - Non-Classroom (055)
EDRS PRICE	MF01/PC03 Plus Postage.
DESCRIPTORS	Administrative Policy; Elementary Secondary Education; *Grants; *Program Proposals; Public Schools; School Districts; State Aid; *Workshops
IDENTIFIERS	*Alaska; *Capital Investment Needs

ABSTRACT

This workshop addresses the application process for capital improvement funding from the state, e.g., who should apply, applicant eligibility and evaluation criteria, the types of funding available, and project specifics to be included in application submissions. The evaluation and scoring process of applications is explained followed by the lessons that have been learned from past application reviews that will help make the process more complete and fair. Attachments include the application form for funding (Capital Grant or State Aid for Debt Retirement) and instructions for its completion. Appendices provide a breakdown of the phases of capital improvement projects and give explanations behind the application process that include the categories of the grants available, project cost estimates, definitions of maintenance, the current law regarding waiver of participating share/in-kind contributions, and descriptive categories of the types of spaces to be added or improved. (GR)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

CIRC. DOC.
ALASKA STATE
LIBRARY

EF

ED 428 529

Capital Improvement Project Workshops

Anchorage – May 15, 1998

Juneau – May 19, 1998

Alaska Department of Education

EF 005 311

U.S. DEPARTMENT OF EDUCATION
Office of Educational Research and Improvement
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)
This document has been reproduced as received from the person or organization originating it.
Minor changes have been made to improve reproduction quality.
Points of view or opinions stated in this document do not necessarily represent official OERI position or policy.

PERMISSION TO REPRODUCE AND DISSEMINATE THIS MATERIAL HAS BEEN GRANTED BY
K. R. Crane
TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

ALASKA STATE LIBRARY
3 3500 00271 5597

FY00 CIP Application Workshop

- Eligibility
- CIP Overview
- Summary
- Scoring
- FY00 Application
- Question & Answer
- Application Instructions
- Application Appendices

Presenters

Michael Morgan, PMP
Facilities Manager

Tim Mearig, AIA
Architect

FY00 CIP Application Workshop Schedule

• CIP Overview	9:30 – 9:50
• CIP Changes & New Publications	9:50 – 10:00
• The FY00 Application	10:00 – 10:50
• Break	10:50 – 11:00
• The FY00 Application (continued)	11:00 – 12:00
• Lunch	12:00 – 1:00
• Application Question & Answer	1:00 – 1:30
• FY00 CIP Scoring	1:30 – 3:00
• Break	3:00 – 3:10
• Lessons Learned	3:10 – 3:40
• Scoring Question & Answer	3:40 – 4:00

Facilities Staff

Michael Morgan, PMP
Facilities Manager
mmorgan@educ.state.ak.us
465-1858

Tim Mearig, AIA
Architect
tmearig@educ.state.ak.us
465-6906

Jack Kinnunen
Project Assistant
jkinnune@educ.state.ak.us
465-2890

Nathan Coffee
Architect Assistant
ncoffee@educ.state.ak.us
465-2785

Division Support Staff

Julie Watkins
Division Secretary
jwatkins@educ.state.ak.us
465-2875

Sydney Stredicke
Administrative Clerk
sstredicke@educ.state.ak.us
465-2809

CIP Application Workshop

- CIP Overview
- Eligibility
- Summary
- Scoring
- FY00 Application
- Question & Answer
- Application Instructions
- Application Appendices

Presenters

Michael Morgan, PMP
Facilities Manager

Tim Mearig, AIA
Architect

CIP Application Workshop Topics

- Overview of the Process
- What the Current Process Is
- Changes From last year to this year
- CIP Facts
- The Application
- Scoring and Ranking
- Summary, Questions & Answers

CIP Overview

- Why have a CIP process?
  - » Establishes the spectrum of need, statewide
  - » Prioritizes the needs of the state
  - » Provides a vehicle to seek funding
  - » Currently required by statute

2

CIP Overview (continued)

- Who should apply?
  - » School districts desiring to participate in the state grant program
  - » Districts having projects which fit the statutorily allowed categories

3

The Current Process

- Major criteria set in statute
- Scoring criteria set by statutory committee
  - » Used committee recommendations
  - » Looked at process used by other states
  - » Fine-tuned using district comments
- FY00 application updated for clarity

4

Regulation Revision - Impact on the CIP Process

- Allows use of priority for a 2nd year
- Clarifies criteria for approval of additional space for schools
- Formalizes the "mixed scope" concept
- Revises time frame for recovery of district capital expenditures

5

Regulation Revision - Updated Publications

- Site Selection Criteria and Evaluation Guideline
- Guidelines for School Equipment Purchases
- Swimming Pool Guidelines

6

FY00 Application Revision Highlights

- Renumbered questions to group like information together
- Changed question 11 to request the year a facility was built vs. its age
- Revised tables to coordinate more fully with the DOE Cost Model

7

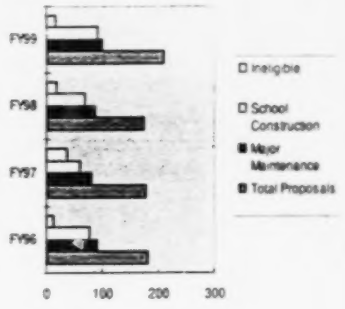
FY00 Application Revisions Highlights (continued)

- Established new standards for school equipment based on per-student amounts
- Changed terminology to clarify that population and unhoused projections are based on ADM
- Introduced new tools for CIP preparation - publications & guidelines

8

FY 99 CIP Facts

- 210 Applications Submitted
- Number of Ranked Projects
  - » School Construction - 92
  - » Major Maintenance -100
  - » Ineligible - 16
  - » Duplicates - 2



9

FY00 CIP Application

- To Start:
  - » Read the instructions and appendices
  - » Answer the questions completely
- To Finish:
  - » Review the application as if you know nothing about the project
  - » Make sure it "makes sense", is "reasonable" and is complete!
  - » Sign it and send it to the department

10

Type of Project and Funding Request

- Declare Type of Funding Requested.
  - » Grant Funding *or* Aid for Debt Retirement
- Indicate which category represents the primary purpose of the project.
  - » This selects the list the project is on: School Construction *or* Major Maintenance [Does NOT effect scoring]
- Specify which phases of the project are to be covered by this funding request.
  - » Planning, Design and/or Construction

11

Basic Eligibility Requirements (Required by Statute)

- Six-year capital improvement plan
- Description of fixed asset inventory
- Proof of replacement cost property insurance

12

More Basic Eligibility Requirements

- Preventive Maintenance Program Description
  - » Points awarded based on the functionality and effectiveness of the program.
    - – evidence that the program is more than routine or custodial maintenance
    - – show by example how the "preventive" portion of the program works and how it is effective
    - – Include all aspects of building maintenance
  - » Basic evaluation is district-wide

13

Basic Eligibility Continued

- Proof of capital project
  - » Refer to AS 14.11.013 (b)(3) to establish that the project is a verified capital project and not preventive maintenance, routine maintenance, or custodial care

14

District Facility Information (Actuals)

- Average five-year replacement value of all school facilities district-wide
- Average annual district-wide maintenance expenditure for the last five years.

15

District Facility Information (Excluded Items)

- Exclude value of school contents
- Exclude value of teacher housing
- Exclude expenditures for communications, insurance, utilities and teacher housing

16

Existing Facility Information

- Specify the plan for existing facility
  - » If the facility will be abandoned, address the issues
  - » Proposed demolition should be considered as part of the project cost
- Year-built and size of the existing facility
  - ✦ Include year of occupancy and gross square footage of each addition to the original facility

17

Related Funding

- Other AS 14.11 grants already issued in support of this project
  - » DOE grant #, phase, percent complete
- This gives value to projects which have received prior funding
- Waiver of participating share
  - » In accordance with AS 14.11.008(d) and 4 AAC 31.023 (d), See appendix E.
  - » Possible 'in-kind' contributions should be considered

18

Project Information

- Project's ranking on district's six-year CIP plan
  - » The unique number given to each discreet project in a priority sequence approved by the district school board.

19

Impact on Multiple Facilities

- If the project will result in additional educational space and will serve students of the same grade levels as currently housed or projected to be housed in other schools...
- INCLUDE
  - » funding community impacted by this project
  - » student population in each affected grade
  - » square footage allocated for each grade in existing schools

20

Necessary Details Defining Emergency of Project

- nature of emergency
- facility condition related to the emergency
- threat to students and staff
- consequence of continued utilization of the facility
- individuals or groups affected by the condition
- temporary mitigation the district has effected
- extent of eligibility for insurance reimbursement or emergency funding from any state or federal agency

21

Site Issues - New Site

- Acquisition of additional land
  - » expansion of an existing school site using property adjacent to, or in close proximity to, existing school site
- Utilization of a new school site
  - » use of a site project previously acquired by the district, or a new site acquired as a result of this application and not previously utilized as a public school

22

Site Issues - Existing Site

- Relationship to existing structure
- Varying topographic factors or soils conditions across the site
- Impact on bordering development, future expansion and infrastructure requirements

23

Background Facility Information

- School facility appraisal-*Optional for FY00*
  - » districts may find an appraisal useful in establishing a facility's general deficiencies
- Facility condition survey-*Optional for FY00*
  - » a technical survey of facilities and buildings to determine compliance with standards and codes for safety, maintenance, repair and operation

24

Project Scope - Evaluation Requirements

- Basic starting point for project evaluation
- The description of the project impacts the evaluation of:
  - » Whether the project meets the definition of one of the acceptable categories of projects
  - » If the project is an "approvable project"
  - » Cost and its reasonableness

25

Project Scope - Description

- Detailed description of project
  - » Increasingly detailed as project phases advance
  - » Include responses to and references to previous questions that apply
  - » Description of the scope of the project and what the project will accomplish
  - » Deal with demolition in detail if it is a project issue

26

Project Scope - Documentation

- If documentation is attached, descriptions of project *need, justification and scope* can be referenced
- Include documentation of the conditions justifying the project
- Be complete: provide a copy of documents which are discussed or referenced

27

Project Scope - Relationships

- Review the parts of the application for consistency
- Compare project scope elements with the educational specification, facility condition survey, and facility appraisal
- Review the cost estimate with the scope to assure that they match

28

Project Scope - Cost

- Cost Estimates
  - » information should support meaningful evaluation of :
    - – project cost
    - – relationship between project cost and operational cost savings
    - – reasonableness of the cost estimate
    - – life cycle cost analysis
    - – cost/benefit analysis

29

Project Scope - Cost Analysis

- Include detailed cost/benefit analysis and a life cycle cost analysis
  - » Required for new-in-lieu of renovation
  - » Strongly suggested for all projects
- Other Tools
  - » Value analysis
  - » Value engineering

30

Project Cost - Evaluation Requirements

- The Department is charged with looking at the "reasonableness and completeness" of the cost estimate
- Evaluation of the relationship (if any) between the cost of the project and operational savings is also made.

31

Project Cost - "Reasonableness Evaluation"

- Reasonable is judged by standards (Cost model, national estimating, Alaskan experience)
- The more information provided, the easier it is to evaluate "reasonableness"
- Identifying sources is beneficial

32

Project Cost - Estimates

- Table 1. Total Project Cost Estimate
  - » Percentages based on construction cost. Refer to Appendix C
- Table 2. Construction Cost Estimate
  - » Enter cost and gross square feet for new construction and renovation

33

Project Cost - Estimate (Continued)

- Part 1: Total Project Cost Estimate
  - » Construction estimate
  - » "Factored" elements based on construction costs = 100%
  - » Technology: As part of equipment or separate detailed estimate required
  - » Project Contingency: Applies to total project for design unknowns
    - – Should decrease as design progresses

34

Project Cost - Estimate (Continued)

- Part 2: The Construction Estimate
  - » Split out new construction from renovation
  - » Document conditions which cause unusually high costs
  - » Contains its own contingency - do not add to project contingency

33

Project Cost - Estimate (Continued)

- Part 3: The DOE Cost Model
  - » New 7th Edition - November, 1997
  - » Renovation format revised to fit building systems
  - » Costs updated to incorporate 1997 building season

36

Project Cost - Estimate (Continued)

- Part 4: Use of the Cost Model
  - » Designed for conceptual estimating
  - » Should not be used when better 'quality' estimates are available
  - » Needs to be checked for reasonableness
  - » Common errors - double entry
    - – A contractor estimate will already be adjusted for a particular region
    - – Contractor estimates have contingency, profit, etc.

37

Funding Community & Average Daily Membership

- Include if your application requests new space
- Unhoused must be on a funding community basis
  - » Key issue is, "What grades are affected?" (Question 14)
  - » Square footage for this section is unique - based on 4 AAC 31.020

38

Funding Community - Work in Progress

- Within a funding community, describe any additional square footage funded or approved by local voters
  - » student capacity
  - » additional DOE net square feet
  - » grade levels to be served

39

Funding Community - Existing

- Describe funding community impacted by project
  - » DOE net square footage of affected school(s)
  - » equivalent grade level ADMs (K-6, 7-12, and total)

40

ADM & Current Unhoused

- Document unhoused students currently in the funding community by providing
  - » DOE net square footage
  - » ADM population: by grade and by school
  - » capacity calculation for each school in the funding community serving grade levels impacted by the proposed project
    - *– capacity = DOE sq ft divided by allowable sq ft per student (based on DOE Space Guidelines)*

41

Student Population Projections

- Two-year enrollment projection covers two fiscal years beyond most recent student count for funding community (should be FY98 count)
- Five-year post-occupancy ADM projection for funding community
  - » beginning with first year facility will be occupied by students
  - » typically this would be seven years after the CIP application date

42

Student Population Projection Method

- Specify by which method student population projections were calculated
  - » If calculations produce significant difference from past five-year trends in the enrollment projections - JUSTIFY THE VARIANCE
  - » If a simple, straight line projection is being made, years that show large increases or declines should be explained or discarded from the data

43

Project Space Equation

- Tell us what space you have
  - » How its use is allocated
  - » Should match to questions #11 and #21 for totals
- What space is being renovated
- What new space is being built, and
- What space is being demolished or surplused

44

Project Space Equation (cont.)

- Table 3. Applies to all projects that add space or change utilization of existing space
  - » The amount of space to remain "as-is" column, *plus* the amount of space to be renovated, *plus* the new or additional space, *minus* existing space to be abandoned or demolished, *equals* total space when project is completed.

45

Alternative Facilities and Options

- List any alternative regional, community and school facilities in the area that are capable of housing students
  - » Refer to AS 14.11.013 (b)(4)
- Describe two or more **viable** options to this project that have been considered
  - » if project proposes to add new or additional space, districts must consider attendance area boundary changes

46

Attachments and Certification

- Indicate that all necessary items are attached to the application
  - » Attachments designated as required must be included for the application to be considered eligible.
  - » Required items are necessary for BASIC eligibility
- MUST be signed & certified by the superintendent

47

Instructions and Appendices

- Important for a complete understanding
- Provides both instructions and direction
- Definitions are provided as guidelines

48

Final Review

- The application should be viewed as a whole unit:
  - » When finished, ask "does each part of this make sense?"
  - » And, "is this reasonable as a whole?"
- Finally:
  - » Are all of the items required for eligibility included?
  - » Is the application signed?

49

Eligibility, Evaluation and Scoring

- The current system implements statutory requirements
- Developed by the Bond Reimbursement and Grant Review Committee (Established in statute AS 14.11.014)
- Scoring covers the full range of projects from conceptual to construction ready

51

Project Eligibility

- Based on statutory requirements
- Eligibility criteria was updated for this year
- Not meeting one or more of the criteria is the reason a project would not be eligible for funding

52

Types of Scoring: Objective

- Objective
  - » 9 scoring elements, 245 possible points
  - » Based on information submitted in the CIP Application
  - » Information verified with DOE files
    - – Uses audits and historical files for sources

53

Types of Scoring: Subjective

- Subjective
  - » 8 scoring elements, 280 possible points
  - » Based on information submitted in the CIP Application
  - » Independently scored by at least three rators

54

Objective Scoring Issues

- The following objective scoring elements cause the most difficulty:
  - » Adequacy of fixed asset inventory: 3 award levels
    - – 0 points: if the district says nothing,
    - – 5 points: district includes a statement about system,
    - – 10 points: districts includes an audit page showing no exceptions

55

Objective Scoring Issues (continued)

- » Previous funding: Only state funds count
- » Planning & Design points: Revised last year
  - – Three award levels
    - Planning
    - Design: Schematic Level Complete
    - Design: Design Development Level Complete
- » Unhoused Students: applications usually need more detail

56

Subjective Scoring Issues

- Scoring is subjective by rators
- Evaluation is weighted for 'mixed-scope' projects
- Judges the full range of possible projects

57

Subjective Scoring Overview

- Scores the full range of project submittals, from:
  - » conceptual to,
  - » construction ready
- Evaluation uses
  - » material in application,
  - » attachments,
  - » material submitted by September 1

58

Subjective Scoring: Effectiveness of the preventive maintenance program

- Evaluation of effectiveness of the program
  - » Focuses on results
  - » Considers how comprehensive the program is
- Based on a total district evaluation
- May be modified (up or down) for an individual school

59

Subjective Scoring: Emergency

- Scored only if a district declares an emergency
- Evaluates information requested in the instructions
- Scoring weighted if project includes non-emergency scope

60

Subjective Scoring: Seriousness of life/safety and code conditions

- Evaluates reported code conditions based on national code requirements
- Considers seriousness of the listed code conditions
- Weighted in mixed scope projects

61

Subjective Scoring: Evaluation of existing space

- Considers two factors: physical and functional
- Considers how the space meets program needs
- Balances the type of program
- Weighted in mixed scope projects

62

Subjective Scoring: Cost estimate

- Scoring covers the full range of possible projects
- Looks at reasonableness and completeness
- Considers the the cost benefit analysis
- Considers the life cycle cost analysis
- Considers sources of information used and the level of detail provided

63

Subjective Scoring: Project cost versus annual operational cost savings

- Evaluates district provided information
- Considers project in a cost/benefit viewpoint
- Emphasis is on data and analysis rather than opinion
- Applies to all projects
- Considers how the project shows effects on operational costs

64

Subjective Scoring: Alternative facilities & options

- Answers are often too brief
- Sample Project: "Repair/Replace Roof"
  - » Common responses to question
    - – Fix the roof
    - – Let it totally fail
  - » Better/viable alternatives might be:
    - – Continue to patch the roof
    - – Replace with a 15 year composite roof
    - – Replace with a 30 year EPDM roof

65

Subjective Scoring: Adequacy of documentation

- Comprehensive evaluation of the total package
- Considers how well the provided information:
  - » Answered application questions
  - » Facilitated understanding the project
- Scoring applies to the full range of eligible projects: conceptual to construction ready

66

Other Issues

- Phasing
  - » Projects will be phased if:
    - – Not ready for construction funding
    - – Over $4 million dollars
    - – Scope not well defined - especially re-models
  - » If the cost estimate is reasonable, phased funding will usually include:
    - – 40% of design
    - – 40% of indirects
    - – site costs

67

CIP Application Workshop "Lessons Learned"

- **CIP Overview**
- **Eligibility**
- **Summary**
- **Scoring**
- **FY00 Application**
- **Question & Answer**
- **Application Instructions**
- **Application Appendices**

Presenters

Michael Morgan, PMP
Facilities Manager

Tim Mearig, AIA
Architect

CIP Application Lessons Learned Application Issues

- Areas For Improvement
  - Project Scope - Tell us what you know about your projects, explain fully
  - Be consistent - Make sure all of the pieces of the application address the same project
  - Fill out the application completely
  - Applications are not judged on the amount of paper submitted

72

CIP Application Lessons Learned Other Issues

- Preventive Maintenance Plan - After describing your plan, show how it is being implemented and examples of how it is effective
- How do the problems and offered solutions effect the educational program? What does it do for the kids? Tell us!

73

CIP Application Lessons Learned Scoring Issues

- Objective Scoring
  - Most often experienced negative impacts are blank responses to questions
  - Some problems occur when application data isn't supported by other submittals to the department. An example would be the annual audits

74

CIP Application Lessons Learned Scoring Issues

- Subjective Scoring
  - Facts and figures score better than unsupported opinions
  - Reading the instructions are VERY important - "Options" an example of a question often poorly answered

75

Summary/Questions and Answers "Lessons Learned"

- **CIP Overview**
- **Eligibility**
- **Summary**
- **Scoring**
- **FY00 Application**
- **Question & Answer**
- **Application Instructions**
- **Application Appendices**

Presenters

Michael Morgan, PMP
Facilities Manager

Tim Mearig, AIA
Architect

FY00

Application for Funding
Capital Grant or State Aid for Debt Retirement

*For each funding request submit **four** complete copies of this application and **two** copies of each attachment.*

School District_____ Community_____

School Name_____

Project Name_____

TYPE OF PROJECT AND FUNDING REQUEST

1. Type of funding requested *(Choose only **one** funding source.)*

☐ Grant Funding ☐ Aid for Debt Retirement (Bonding)

2a. **Primary** purpose of project *(Choose only **one** category, per AS 14.11.013)*

School Construction:

- ☐ Health and life-safety (Category A)
- ☐ Unhoused students (Category B)
- ☐ Achieve operating cost savings (Category E)
- ☐ Improve instructional program (Category F)

Major Maintenance:

- ☐ Protection of structure (Category C)
- ☐ Building code deficiencies (Category D)

b. Phases of project to be covered by this funding request *(Indicate **all** applicable phases)*

☐ Planning (Phase I) ☐ Design (Phase II) ☐ Construction (Phase III)

BASIC ELIGIBILITY REQUIREMENTS

3. Has a six-year Capital Improvement Plan (CIP) been approved by the district school board? ☐ yes ☐ no

(Refer to AS 14.11.011(b), attach a copy of the 6-year Plan.)

4. Does the school district have a functional fixed asset inventory system? ☐ yes ☐ no

(Refer to AS 14.11.011(b)(1), attach a description of the fixed asset inventory system and audit page(s) from the district's latest annual audited financial statement.)

BEST COPY AVAILABLE

5. Is evidence of required insurance attached to this application or has evidence been submitted as required to the department? ☐ yes ☐ no

(Refer to AS 14.11.011(b)(2) .)

6. Does the district have a functioning and effective preventive maintenance program? ☐ yes ☐ no

(Refer to AS14.14.090(10) and AS14.11.011(b)(1), and attach a description of the preventive maintenance program that shows the program is both functioning and effective.)

7. Is the project a capital improvement project and not part of a preventive maintenance program or custodial care? ☐ yes ☐ no

(Refer to AS 14.11.011(b)(3), and if the answer is yes, *attach a statement of why this is a capital project.)*

DISTRICT INFORMATION

8. What is the average replacement value of all school facilities district-wide for the last 5 years? $_____

(Do not include values for teacher housing.)

9. What is the average, annual district-wide maintenance expenditure for the last 5 years? $_____

(Do not include costs for teacher housing.)

EXISTING FACILITIES

10. Will the existing facility be:

☐ renovated ☐ added to ☐ demolished ☐ surplused ☐ none of above

(If the project will result in demolition or surplusing of state-owned or state-leased facilities, attach a detailed plan for transition and protection of state-owned or state-leased properties.)

11. What is the size of the original existing facility and when was it constructed? _____ *yr. built* _____ *GSF*

What is the size of each addition to the original facility and when were they each constructed?

_____ *yr. built* _____ *GSF*

_____ *yr. built* _____ *GSF*

_____ *yr. built* _____ *GSF*

_____ *yr. built* _____ *GSF*

Total size _____ *GSF*

BEST COPY AVAILABLE

RELATED FUNDING

12. What AS 14.11 administered grants have already been issued in support of this project?

DOE grant #_____ Phase_____ % completed_____
DOE grant #_____ Phase_____ % completed_____

☐ No AS 14.11 grants have been issued in support of this project.

13. Is the district applying for a waiver of participating share? ☐ yes ☐ no

(If the district is applying for a waiver, attach justification.)

PROJECT INFORMATION

14. What is the ranking of this project under the district's six-year Capital Improvement Plan? Ranking: _____

15. Does this project impact multiple facilities? ☐ yes ☐ no

(If the answer is yes, describe in the project description and provide applicable data as identified in the instructions.)

16. Is this project an emergency? ☐ yes ☐ no

(Refer to AS 14.011.013(b)(1) and the Instructions. If the answer is yes, the project description should describe the nature of the emergency and actions the district has taken to mitigate the emergency conditions.)

17. Will this project require acquisition of additional land or utilization of a new school site? ☐ yes ☐ no

(If the answer is yes, attach site description or site requirements.)

18. Has a school facility appraisal been completed? ☐ yes ☐ no

(If the answer is yes, attach 2 copies.)

19. Has a facility condition survey been completed? ☐ yes ☐ no

(If the answer is yes, attach 2 copies.)

BEST COPY AVAILABLE

20. Project Description/Scope of Work:

(Refer to AS 14.11.011(b)(1) and to the instructions accompanying this form. Appendices A and C accompanying the instructions may be particularly helpful.)

COST ESTIMATES

21. Use the Department of Education's 7th edition Cost Model or an equivalent.

(Percentages are based on construction cost. See Appendix C. If your project exceeds the recommended percentages, add a detailed justification for each item exceeding the percentage. Completion of this form is **mandatory** *for all applications.)*

Table 1. TOTAL PROJECT COST ESTIMATE

		I	II	III	IV
	Maximum percent w/out justification	**All prior AS 14.11 funding**	**Current project request**	**Percentage of construction total**	**Project total (incl. all prior AS 14.11 funding)**
Construction Management[1] by Consultant by District/Borough	2-4% 2-5%				
Land [2,3]	-				
Site Investigation [2,3]	-				
Design Services	6-8%				
Construction[4]	-			100%	
Equipment [2,6]	0-7%				
Technology [2,6]	-				
Indirect/Administration[5]	2-5%				
Percent for Art[7]	0.5 - 1%				
Project Contingency	3-5%				
Total Project Request					

1. *Percentage is established by AS 14.11.020(c) for consultant contracts; show "in-house" management as a separate cost.*
2. *Include only if necessary for completion of this project.*
3. *Exclude from percent calculation.*
4. *Attach detailed construction cost estimate and life cycle cost if new-in-lieu-of-renovation.*
5. *Includes Department of Education overhead and district/municipal/borough administrative costs.*
6. *See the department's publication, Guidelines for School Equipment Purchases for per student and percentage limitations without justification.*
7. *Required for all renovation and construction projects.*

Table 2. CONSTRUCTION COST ESTIMATE

(Enter cost and sq. ft. for each type of construction.)

	NEW CONSTRUCTION			RENOVATION		
	cost	**sq. ft.**	**DOE use**	**cost**	**sq. ft.**	**DOE use**
Instructional/Resource & Support Teaching spaces						
General Support areas						
Special requirements[1]						
Site work and utilities						
General requirements						
Geographic cost factor						
Size factor						
Construction contingency						
Escalation						
Total cost estimate						

[1] *Explain in detail and justify special requirements.*

BEST COPY AVAILABLE

If you have classified this project as Major Maintenance (Category C or D) and you are not including **any** new space, **please skip to question 29**. If you are in doubt about the proper category of the proposed project, please fill in all the following questions.

FUNDING COMMUNITY AND AVERAGE DAILY MEMBERSHIP

***Please note**: All applications requesting **new** (additional) space must provide the information requested in this section. For the purposes of this section, DOE SF is calculated in accordance with 4 AAC 31.020(e).*

22. Within the funding community, is there any work (other than this project) that is in progress, or that has been funded or approved by local voters? ☐ yes ☐ no

(If the answer is yes, please provide information below about size, student capacity, and grades to be served.)

Project _____ Student capacity _____
DOE SF _____ Grades to be served _____

Project _____ Student capacity _____
DOE SF _____ Grades to be served _____

23. Describe the funding community covered by this project, showing GSF of schools and equivalent grade level ADMs as necessary(K-6, 7-12, and total):

K-6 DOE SF _____ ADM _____
7-12 DOE SF _____ ADM _____

Total DOE SF _____ ADM _____

24. Are there unhoused students in the funding community? ☐ yes ☐ no

(If the answer is yes, please describe unhoused students by grade level and total ADM, and attach calculations of unhoused students for each school in the funding community.

K-6 DOE SF _____ Unhoused _____
7-12 DOE SF _____ Unhoused _____
or
K-12 DOE SF _____ Unhoused _____

Total DOE SF _____ Unhoused _____

In lieu of data in the format above for questions 23 and 24, we are providing detailed attachments. ☐ yes ☐ no

BEST COPY AVAILABLE

25. What is the two-year ADM projection for the funding community? _____
(Please attach copies of calculations.)

26. Please make a five-year post-occupancy ADM projection for the funding community:

	K-6	7-12		K-6	7-12
for FY___:	_____	_____	for FY___:	_____	_____
for FY___:	_____	_____	for FY___:	_____	_____
for FY___:	_____	_____			

27. Please indicate grade levels of students to be housed by or served in the facility proposed in this project: _____

28. By which method were ADM projections calculated? _____
(Please attach copies of calculations, and justification for variance, if applicable.)

PROJECT SPACE EQUATION

29. Completion of this table is mandatory for **all projects that add space or change existing space utilization**. It is required for all construction (Phase III) projects, Category B (unhoused students) projects, or renovation projects. Once all applicable square footage has been entered in columns A, I, II, III, and IV, project totals (column V) and equations can be calculated as follows:

Column I + II + III = V also Columns I + II + IV = A

Table 3. PROJECT SPACE EQUATION

A		I	II	III	IV	V
All existing space	**Space utilization**	**To remain "as-is"**	**To be renovated**	**New or additional space**	**To be abandoned/ demolished (-)**	**Total space when project is complete**
	Elementary Instructional/ Resource					
	Secondary Instructional/ Resource					
	Support teaching spaces					
	General Support					
	Base sq. ft. total					
	Supplemen-tary space					
	Total sq. ft.					

BEST COPY AVAILABLE

ALTERNATIVE FACILITIES AND OPTIONS

30. List below any alternative regional, community, and school facilities in the area that are capable of housing students.
(Refer to AS 14.11.013(b)(4) and attach additional pages if necessary.)

31. Describe two or more viable options to this project that have been considered.
(Refer to AS 14.11.013(b)(6) and attach additional pages if necessary)

ATTACHMENTS

32. Please check to indicate all items that are attached to this application and note that two copies of each attachment should be included. Attachments designated as Required must be included for the application to be considered complete. Some items may not be applicable to specific projects.

- ☐ Six-year Capital Improvement Plan (CIP) *(question 3)*; **Required for eligibility**
- ☐ Description of fixed asset inventory system *(question 4)*; **Required for eligibility**
- ☐ Audit of fixed asset inventory system *(question 4)*
- ☐ Description of preventive maintenance program *(question 6)*
- ☐ Transition plan for state-owned or state-leased properties *(question 7)*
- ☐ Justification for waiver of participating share *(question 12)*
- ☐ Evidence that project is a capital project and not preventive maintenance *(question 15)*; **Required for eligibility**
- ☐ Site description or site requirements *(question 17)*
- ☐ School facility appraisal *(question 18)*
- ☐ Facility condition survey *(question 19)*
- ☐ Project description/scope of work *(question 20)*; **Required for eligibility**
- ☐ Cost/benefit analysis *(questions 20, 21)*
- ☐ Life cycle cost analysis *(questions 20, 21)*
- ☐ Budget variance justification *(question 21)*
- ☐ Cost estimate worksheets *(question 21)*
- ☐ Unhoused student calculations by school *(question 24)*
- ☐ Two-year and five-year enrollment projections, with calculations *(questions 25, 28)*
- ☐ Request for change in grade levels offered *(question 27)*
- ☐ Justification for variance in enrollment calculations *(question 28)*
- ☐ Description of alternative facilities *(question 30)*
- ☐ Description of other options *(question 31)*
- ☐ Appropriate compliance reports (i.e., Fire Marshal, AHERA, ADA, etc.)
- ☐ Superintendent's signature certifying the application (*question 33*); **Required for eligibility**
- ☐ *(other)*_____
- ☐ _____
- ☐ _____

CERTIFICATION

33. I hereby certify that this information is true and correct to the best of my knowledge, and that the application has been prepared under the direction of the district school board and is submitted in accordance with law.

_____ _____

Superintendent Date

BEST COPY AVAILABLE

FY00

Instructions for completing the Application for Funding Capital Grant or State Aid for Debt Retirement

Use these instructions with Alaska Department of Education Form #05-95-017 - ***Application for Funding, Capital Grant or State Aid for Debt Retirement.***
Numbered paragraphs below correspond to numbered questions on the application.

Unless otherwise indicated, each question on the application form must be answered in order for the application to be considered complete. **Only complete applications will be accepted. Incomplete applications will be returned, un-ranked.** The project name on the first page of the application should be consistent with project titles approved by the district school board and submitted with the six-year Capital Improvement Plan (CIP). Please submit *four complete copies* of each application and *two copies of each attachment.*

TYPE OF PROJECT AND FUNDING REQUEST

1. Check one box to indicate which type of state aid is being requested.

2a. Check one box to indicate the primary purpose of the project. Each application should be for a single project for a particular facility, and should be independently justified. The district may include work in other categories in a proposed project. These projects will be reviewed and evaluated as mixed-scope projects. Refer to Appendix B of these instructions for descriptions of categories and the limitation associated with category C and category D projects. Application of scoring criteria will be on a weighted basis.

b. Check the applicable phase(s) covered by this funding request. Refer to Appendix A for descriptions of phases.

BASIC ELIGIBILITY REQUIREMENTS

3. Attach six-year Capital Improvement Plan (CIP).

4. AS 14.11.011(b)(1) and 4 AAC 31.011(b)(1) require each school district to send the Department of Education a description of its fixed asset inventory annually as part of its audited financial statement. The district should respond with two items;
   a) A description of a functional fixed asset inventory system. (i.e. one that can be audited and is in compliance with state statutes and regulation), and;
   b) A copy of the audit page(s) from the district audited financial statement that refers to the fixed asset inventory system. The department will review these pages to verify the existence of a functional fixed asset system and the current condition of that system.

BEST COPY AVAILABLE

5. The department may not award a school construction grant to a district that does not have replacement cost property insurance. AS 14.03.150, AS 14.11.011(b)(2) and 4 AAC 31.200 set forth property insurance requirements. Note that revisions to 4 AAC 31.200 regarding flood insurance, took effect July 1, 1997.

6. AS 14.11.011(b)(1) and 4 AAC 31.011(b)(2) require each school district to include with this application a description of its preventive maintenance program, as defined by AS 14.14.090(10). *Preventive maintenance* means scheduled maintenance actions that prevent the premature failure or extend the useful life of a facility or a facility's systems and components. A *functioning and effective* preventive maintenance program is cost-effective on a life cycle basis.

   Refer to Appendix D for detail, and attach a statement that describes the preventive maintenance program and provides evidence that the program addresses the full spectrum of building systems (i.e.: more than routine or custodial maintenance). Include examples of how the program is effective and achieving results.

7. AS 14.11.011(b)(3) requires a district to provide evidence that the funding request is for a capital project and not part of a preventive maintenance or regular custodial care program. Refer to Appendix D for an explanation of maintenance activities and please include complete information in your statement.

DISTRICT INFORMATION

8. To calculate the *five-year average replacement value* of all school facilities districtwide, add together the auditable insurance valuation of all facilities for each of the past five years and divide the sum by five. Value of school contents and replacement costs related to teacher housing should be excluded from this figure.

9. To calculate the *average annual districtwide maintenance expenditure for the last five years,* total all expenses for district maintenance and operations over the last five years; subtract expenditures for communications, insurance, utilities, and teacher housing (if applicable) during the last 5 years; and divide the remaining sum by 5.

EXISTING FACILITIES

10. The response to this question should be consistent with the space utilization table in question 29. Projects that will result in demolition or surplusing of existing state-owned or state-leased facilities should include a detailed plan for transition from existing facilities to replacement facilities. The transition plan should describe how surplused state-owned or state-leased facilities will be secured and maintained during transition.

11. The question is revised for FY2000 to collect the year the facility was constructed. *Year built* refers to the year the original facility and any additions were completed or

BEST COPY AVAILABLE

were first occupied for educational purposes. If a date of construction is not available, use an estimate indicated by an (*). *Gross square footage (GSF)* of each addition should be the amount of space added to the original facility. *Total size* should equal the square footage of the existing facility.

RELATED FUNDING

12. Prior state funding refers to **funds appropriated to the Department and administered under AS 14.11 only.** No other fund sources apply.

13. Waivers of participating share should be in accordance with AS 14.11.008(d). Justification should be documented. See Appendix E in the attachments to these instructions for detailed information.

PROJECT INFORMATION

14. The district ranking of each project application must be a unique number approved by the district school board and placing each discrete project in priority sequence. The project having the highest priority should receive a ranking of one, and each additional project application of lower priority should be assigned a unique number in priority order. The department will accept only one project with a district ranking of priority one. The ranking of each application should be consistent with the board-approved six-year Capital Improvement Plan (CIP). Please refer to AS 14.11.013(b)(2).

15. If this project (1) will result in renovated or additional educational space, and (2) will serve students of the same grade levels currently housed or projected to be housed in other schools, the project description should indicate:

    - the funding communities that will be impacted (i.e. will contribute students) by this project,
    - the current and projected student populations in each facility (school) affected by the project, and
    - the square footage for each affected facility (school) in the funding community.

    Note: for schools housing a combination of elementary and secondary grades, the space allocated to elementary (K-6) and secondary (7-12) may be necessary.

16. Refer to AS 14.11.013(b)(1). If this project is an emergency, the project description must describe:

    - the nature of the emergency,
    - the facility condition related to the emergency,
    - the threat to students and staff,
    - the consequence of continued utilization of the facility,
    - the individuals or groups affected by the condition,

BEST COPY AVAILABLE

- what action the district has taken to mitigate the emergency conditions, and
- the extent to which any portion of the project is eligible for insurance reimbursement or emergency funding from any state or federal agency.

Evaluation of the emergency will consider all of the information submitted and the responses to each of the emergency elements noted in these instructions.

17. *Acquisition of additional land* refers to expansion of an existing school site using property immediately adjacent to, or in close proximity to, the existing school site. Land acquisition may result from long term lease, purchase, or donation of land. *Utilization of a new school site* refers to use of a site previously acquired by the district, or a new site acquired as a result of this application and not previously utilized as a public school. If the project site is not yet known, the site description should be the district's best estimate of specific site requirements for the project, and it should be included in the project description. The department's 1997 publication, Site Selection Criteria and Evaluation Handbook, may be useful in responding to this question. A site selection study is required for those projects involving new sites in order to qualify for planning points (reference Appendix A).

18. A *facility appraisal* is an educational adequacy appraisal using the Guide for School Facility Appraisal - Alaska Edition, or a similar format. An appraisal is optional for FY2000; however, an appraisal document is useful to the department in evaluating the overall merits of the project request. A current appraisal is of more value than one which is four or more years old.

19. A *facility condition survey* is a technical survey of facilities and buildings, using the department's Guide for School Facility Condition Survey or a similar format, for the purpose of determining compliance with established building codes and standards for safety, maintenance, repair, and operation. Portions of the condition survey, such as that information pertaining to building codes and analysis of structural and engineered systems, should be completed by someone with training equivalent to that of an architect or an engineer. Other portions that document conditions of building elements may be completed by someone reasonably familiar with the building and it's various components. A facility condition survey is optional for FY2000, however, a facility condition survey document is useful to the department in evaluating the overall merits of the project request. Currency of the survey should be addressed. It is doubtful that a survey four or more years old adequately describes current facility conditions.

PROJECT DESCRIPTION/SCOPE OF WORK

20. The project description/scope of work should include (1) a detailed description of the project, (2) documentation of the conditions justifying the project, (3) a description of the scope of the project and what the project will accomplish and (4) information or detail related to the project's cost. The scope should also contain sufficient quantifiable

analysis to show the project is in the best interest of both the district and the state. The project description/scope of work is a good place to include responses to questions 7, 10, 15, 16, and 17, where applicable

Question #7: Statute requires the district to provide sufficient evidence that the project is not preventive maintenance, routine maintenance, or custodial care. Refer to Appendix D of these instructions for information regarding the definitions of maintenance terms related to this question.

Question #10: When a new, renovation, new-in-lieu-of-renewal, or Category E project is proposed, the project description should include a detailed cost/benefit analysis and a life cycle cost analysis. These documents should provided data documenting conditions that justify the project [AS 14.11.011(b)(1)]. If these documents are attached, they can be referenced rather than reproduced in the project description. The detailed plan for demolishing or surplusing state-owned or leased properties, should incorporate a draft of the department's Form 05-96-007, Excess Building listing building data and general information; signatures and board resolutions would not be necessary for the CIP process.

Question #16: If the project is an emergency, the description should address all the items specified in the instructions for question 16.

Question #17: Site description should include location, size, availability, cost and other pertinent information as appropriate. If a site selection and evaluation report is attached, the information can be referenced with a brief summary rather than being reproduced in this section.

Questions #18 & #19: If a school facility appraisal (question 18) and/or a facility condition survey (question 19) are attached, they can be referenced rather than reproduced in the descriptions of project need, justification, and scope.

Cost Estimate Support: The project description should include sufficient information to support meaningful evaluation of the project cost and the reasonableness of the cost estimate. Though basic cost information is to be incorporated into Tables 1 and 2 of question 21, many cost elements reported in standard estimates will require further explanation or support. This is especially true for lump-sum elements used in the department's cost model in sitework and utilities. The project description and cost estimate should be increasingly detailed as project phases advance.

The description of project scope should include information that will allow the department to evaluate the criteria specified in AS 14.11.013. Please refer to Appendix C for guidelines covering project cost estimate percentages for factored cost items.

Operational Cost vs. Project Cost: Information (and evaluation points) related to operational costs is not limited to Category E projects. The project cost and its impact on operational costs is an important consideration for any project. The project description should include a discussion of ways in which the completion of the project

would reduce current operational costs. Considerations could cover energy costs, costs related to wear-and-tear and maintenance of existing facilities and costs incurred by current functional inadequacies at the facility and funding community level.

Although the addition of square footage is certain to increase overall operational costs, project descriptions for this category of project should include information on methods and strategies used to minimize operational costs over the life of the building. This can include cost benefit analysis which were accomplished on building systems and materials, etc.

COST ESTIMATES

21. For all applications, including those for planning and/or design, cost estimates should be based on the district's most recent information and should address the project being requested. Refer to Appendix C for descriptions of elements of the total project cost. The cost estimate should be of sufficient detail that its reasonableness can be evaluated. If a project is projected to cost significantly more than would be predicted by the Department's Program Demand Cost Model (7th Edition), provide attachments justifying the higher cost. If there are special requirements, a detailed explanation and justification should be provided in the project description/scope of work.

    In Table 1, all prior AS 14.11 funding for this project should be listed by category and totaled in Column I. Column II should list the amount of funding being requested in this application, by category and in total. Column III should show a percentage breakdown for the project's allocated costs. Column IV should list the total project cost estimate from inception to completion, all phases. Calculate each cost category percentage based on construction cost equal to 100%, excluding the cost of land and site investigation. Other categories should be within the ranges listed. Construction Management continues to be broken down into to sub-categories: consultant and "in-house". CM costs associated with each should be reported. DOE overhead is in the Indirect/Administration category. The percent for art, required for all renovation and construction projects, is given a separate line. The project total cost should still not exceed 130% of construction cost, excluding land and site investigation. If your project exceeds the recommended overall guideline, please add a detailed justification for each category that exceeds the specific sub-category guidelines.

    Table 2, which summarizes construction costs, is structured to be consistent with the DOE cost model. Other estimating formats may not provide an exact correlation, however, the following categories must be reported to allow adequate comparisons between projects: basic building, site work and utilities, general requirements, contingency and escalation.

    Include as an attachment any additional information regarding project cost that may aid in evaluating the reasonableness of the cost estimate (including life cycle cost analysis and cost benefit analysis).

FUNDING COMMUNITY AND ADM

NOTE: DOE square footage entries in this section should reflect the measurements specified by 4 AAC 31.020, excluding exterior wall thickness and applying the 25% factor for outdoor covered spaces and mechanical penthouses. The department realizes that this is not the conventional definition of gross square footage.

22. Any additional square footage that is funded for construction or approved by local voters for construction, should be described, showing student capacity, additional gross square feet, and grade levels to be served. Include these projects in any capacity/unhoused calculations provided in the year of anticipated occupancy.

23. Gross square footage and ADM should reflect all schools in the funding community that serve elementary or secondary students of equivalent grade level to the students who will be served by the proposed project. If the project includes any grades K-6, *equivalent grade level* means all schools within the funding community serving elementary students, regardless of the specific grades served by each of the elementary schools. Similarly, if the project includes any grades 7-12, *equivalent grade level* means all schools within the funding community serving secondary students. Do not include the enrollment or gross square footage of students in grade levels (i.e. K-6 or 7-12 groupings) other than those served by this discrete project. (ADM) should be based on the most recent Foundation count date used for funding by each district. For most districts this will be the October Foundation count from the prior year. If a project is proposed to serve multiple funding communities, the schools affected in **each** individual community should be provided. Please attach pages if necessary.

    It is best to provide ADM projections by school. Projections by grade for each funding community are usable, however, they are slightly less favorable to the district for space computations.

24. The total number of unhoused students currently within the funding community should be based on the (ADM) and gross square footage (GSF) responses to question 23 and the Department of Education Space Guidelines. *Unhoused students* are students who exceed the capacity of the facility. *Capacity* equals the gross square footage divided by the allowable square footage per student, based on the Department of Education Space Guidelines. In your attachment, provide the gross square footage, population, and capacity calculation for each school in the funding community serving grades affected by the proposed project.

25. The two-year ADM projection should cover two fiscal years beyond the total ADM figure for the present funding community, which was provided in question 23. The method used to project enrollment throughout this application should be consistent and should be explained in detail in the response to question 28.

26. The five-year post-occupancy ADM projection should begin with the first year that the facility will be occupied by students (usually two years after the requested funding year), and should cover each of the four succeeding fiscal years, by grade, for the grade levels to be served by this project request.

27. The response to this question should reflect the grade levels that will be served by the facility at the completion of the project. If project completion will result in changes in the grade levels offered in existing facilities, those changes in grade levels served must be approved by the Commissioner of Education, as described in 4 AAC 09.005(d). Requests for changes in grade levels offered must be submitted under separate cover to the Commissioner, and a copy should be attached to this application.

28. If the demographic model utilized by the district produces a significant difference from that represented by the average percent change in reported ADM over the past five-years, please **justify the variance** in the attached calculations. If a simple, straight-line projection is being utilized, years that show large increases or declines should be explained, or should not be used in calculating the projected population.

PROJECT SPACE EQUATION

29. This table summarizes space utilization in the proposed project. Space figures represented should tabulate to match the gross building square footages reported in question 11 as well as those shown in Table 2 of the cost estimate section. The worksheet at Appendix F lists types of school space that fit in each category.

ALTERNATIVE FACILITIES AND OPTIONS

30. The statutes require an evaluation of other facilities in the area which may serve as an alternative to accomplishing the project as submitted. Information regarding the availability of such facilities and the effort (i.e. cost, time, etc.) required to make the facility usable for the school needs represented by the project. The area is not restricted to the attendance area or funding community served by the project.

31. In an effort to support the project, as submitted, as the best possible solution to school facility needs, districts should consider a full range of options during planning and project development. Options should respond to the specific scope of the project. (i.e. if a project proposes a new school, what options were considered in lieu of building the new space; renovation, alternate facilities?) If the project proposes a roof replacement, what options were considered; patching, new roofing, types of roofing, insulation, new roof pitch?) as well as project delivery (i.e. could the project be phased, etc.). If the proposed project would add new or additional space, districts must consider attendance area boundary changes and any space available in adjacent funding communities that are connected by road and to which students may be transported within the 120-minute daily limitation, per 4 AAC 27.045(b). At least one of the options considered and rejected must be an evaluation of potential boundary changes. Scoring in this area will be related to factors such as: the range of options, the rigor of comparison, the viability of options considered, and the quality of data supporting the analysis of the option.

ATTACHMENTS

32. The attachments checklist is provided for your convenience. Please check to see that your application is complete.

CERTIFICATION

33. Please be sure the application is signed by the appropriate official. Unsigned applications cannot be accepted for ranking.

Application packages should be submitted to:
Alaska Department of Education
Education Support Services, Facilities
801 W. 10th Street, Suite 200
Juneau, AK 99801

For further information contact:
Michael Morgan, Facilities Manager
(907) 465-1858

APPENDIX A: CAPITAL IMPROVEMENT PROJECT PHASES
Adopted by the Bond Reimbursement & Grant Review Committee
April 18, 1997

The FY99 application form requires designation of the phase(s) for which the district requests funding. Below is a basic scope of effort for each phase. Items marked **Required** are mandatory (where project type dictates) in order for projects to receive planning, schematic design and/or design development points. Required documents must be or must have been submitted and received by the department by September 1st.

PHASE I-PLANNING

1. Select consultants (if needed)(4 AAC 31.065) - **(Required)**
2. Prepare a school facility appraisal (as required)
3. Prepare a facility condition survey (as required)
4. Identify need category of project - **(Required)**
5. Verify student populations and trends - **(Required)**
6. Complete education specifications (design the educational program - 4AAC 31.010)) - **(Required)**
7. Identify site requirements and potential sites - **(Required)**
8. Complete concept design studies and planning cost estimate - **(Required)**

PHASE IIA - SCHEMATIC DESIGN

1. Perform site evaluation to determine suitability (4AAC 31.025) **(Required)**
2. Prepare plan for transition from old site to new site, if applicable - **(Required)**
3. Accomplish site survey and perform preliminary site investigation (topography, geotechnical)
4. Obtain option on site - **(Required)**
5. Complete schematic design documents including dimensioned site plans, floor plans, elevations and engineering narratives for all necessary disciplines - **(Required)**
6. Complete preliminary cost estimate appropriate to the phase - **(Required)**.

PHASE IIB-DESIGN DEVELOPMENT

1. Complete suggested elements of planning/design not finished in the previous phases - **(Required)**
2. Review and confirm planning (4AAC 31.030)
3. Accomplish a condition survey relevant to scope - **(Required if project includes renovation)**
4. Obtain purchase or lease agreement for site - **(Required)**
5. Complete design development documents - **(Required)**
6. Prepare proposed schedule and method of construction
7. Prepare revised cost estimate appropriate to the phase - **(Required)**

PHASE III-CONSTRUCTION

1. Complete suggested elements of planning and design not previously completed - **(Required)**
2. Prepare final cost estimate
3. Complete final contract documents and legal review of construction documents (4AAC 31.040)
4. Advertising, bidding and contract award (4AAC 31.080)
5. Submit signed construction contract
6. Construct project
7. Procure furniture, fixtures and equipment, if applicable
8. Substantial completion
9. Final completion and move-in
10. Post occupancy survey
11. Obtain project audit/close out

APPENDIX B: CATEGORIES OF GRANTS

Updated by the Bond Reimbursement & Grant Review Committee
April 18, 1997

AS 14.11.013(a)(1)-The department shall verify that each proposed project meets the criteria established under AS 14.11.014(b) and qualifies as a project required to accomplish one of the following. Projects can combine work in the different categories with the majority of work establishing the project's type. For the purpose of review and evaluation, projects which include significant work elements from categories other than the project's primary category will be evaluated as mixed scope projects.

A. "Avert imminent danger or correct life threatening situations." This category is generally referred to as, "Health and Life Safety." A project classified under "A" must be documented as having unsafe conditions that threaten the physical welfare of the occupants. Examples might be that seismic design of structure is inadequate; that required fire alarm and/or suppressant systems are non-existent or inoperative; or that the structure and materials are deteriorated or damaged seriously to the extent that they pose a health/life-safety risk. The district must document what actions it has taken to temporarily mitigate a life-threatening situation.

B. "House students who would otherwise be unhoused." This category is referred to as "Unhoused Students." A project to be classified under "B" must have inadequate space to carry out the educational program required for the present and projected student population or the existing facility must qualify for replacement-in-lieu-of-renewal. Projects will be considered for replacement-in-lieu-of-renewal when project costs exceed 70% of the current replacement cost of the existing facility, based on a twenty year life cycle cost analysis, which includes disposition costs of the existing facility. Documentation should be based on the current Department of Education Space Guidelines. (Refer to AAC 31.020)

C. "Protection of the structure of existing school facilities." This category is intended to include projects that will protect the structure, enclosure, foundations and systems of a facility from deterioration and ensure continued use as an educational facility. Work on individual facility systems may be combined into one project. However, the work on each system must be able to be independently justified and exceed $25,000. The category is for major projects, which are not a result of inadequate preventive, routine and/or custodial maintenance. An example could be a twenty year old roof that has been routinely patched and flood coated, but is presently cracking and leaking in numerous locations. A seven year old roof that has numerous leaks would normally only require preventive maintenance and would not qualify. In addition, no new space for unhoused students is permitted in this category, limiting its ability to be combined with other project types.

D. "Correct building code deficiencies that require major repair or rehabilitation in order for the facility to continue to be used for the educational program." This category, Building Code Deficiencies, was previously referred to as "Code Upgrade." The key words are "major repair." A "D" project corrects major building, fire, mechanical, electrical, environmental, disability (ADA) and other conditions required by codes. Work on individual facility systems may be combined into one project. However, the work on each system must be able to be independently justified and exceed $25,000. An example could be making all corridors one hour rated. Making one or two toilet stalls accessible would not fit this category. In addition, no new space for unhoused students is permitted in this category, limiting its ability to be combined with other project types.

E. "Achieve an operating cost saving." This category is intended to improve the efficiency of a facility and therefore, save money. Examples that might qualify are increasing insulation, improving doors and windows, modifying boilers and heat exchange units for more energy efficiency. The district must document a cost benefit ratio less than 1, considering both capital and operating dollars.

F. "Modify or rehabilitate facilities for purpose of improving the instructional unit."
Category "F", Improve Instructional Program, was previously referred to as "Functional Upgrade." This category is limited to changes or improvements within an existing facility such as, modifications for science programs, computer installation, conversion of space for special education classes, or increase of resource areas.

G. "Meet an educational need not specified in (A)-(F) of this paragraph, identified by the department." Any situation not covered by (A)-(F), and mandated by the Department of Education. (Currently, there are no such mandates.)

APPENDIX C: PROJECT COST ESTIMATE
Updated by the Bond Reimbursement & Grant Review Committee
February 20, 1998

Construction Management (CM) includes two categories: CM accomplished by a private contractor and CM accomplished by district/borough staff. Costs may be incurred for one or the other and in some cases both. Estimates for "in-house" construction management should include actual staff time allocated to the project, staff travel and per diem and direct costs of telephone, etc. It should include construction management costs done by staff and all on site representation. For private contractors it should include costs as anticipated to include oversight of any phase of the project and any deliverables such as educational specifications, legal and bonding assistance, facility appraisals and condition surveys. Construction management includes management of the project's scope, schedule, quality, and budget during any phase of the planning, design and construction of the facility.
Statutory Limit by Private Contractor: 2-4%
Recommended In-house: 2-5%

Land is a variable unrelated to construction cost and should include actual purchase price plus title insurance, fees and closing costs. Land costs are excluded from project percent calculations.

Site Investigation is also a variable unrelated to construction cost and should include land survey, preliminary soil testing, environmental and cultural survey costs, but not site preparation. Site investigation costs are excluded from project percent calculations.

Design Services should include full standard architectural and engineering services and extra services such as educational specifications, condition surveys, construction administration and post occupancy evaluation. Architectural and engineering fees can be budgeted based upon a percentage of construction costs. Because construction costs vary by region and size, so may the percentage fee to accomplish the same effort.
Recommended: 6-8% (Renovation might run 2% higher)

Construction includes all contract work as well as force account for facility construction, site preparation and utilities. This is the base cost upon which others are estimated and equals 100%.

Equipment/Technology includes all moveable furnishing, instructional devices or aids, electronic and mechanical equipment with associated software and peripherals (consultant services necessary to make equipment operational may also be included). It does not include installed equipment, nor consumable supplies, with the exception of the initial purchase of library books. Items purchased should meet the district definition of a fixed asset and be accounted for in an inventory control system. Equipment/Technology budgets have two benchmarks for standard funding: percentage of construction costs and per-student costs as discussed in DOE's *Guideline for School Equipment Purchases*. If special technology plans call for higher levels of funding, itemized costs should be presented in the project budget separate from standard equipment.
Recommended: 0-7% of construction cost **or** between $1700 - $3050 per student depending on school size and type.

Indirect/Administration includes an allocable share of district overhead costs, such as payroll, accounts payable, procurement services, and preparation of the six year capital improvement plan and specific project applications. It also includes the Department of Education overhead charges.
Recommended: 2-5%

Percent for Art includes the statutory allowance for art in public places. This may fund selection, design/fabrication and installation of works of art. One percent of the construction budget is required except for REAA projects which require only one-half of one percent. The department recommends budgeting for art.

Contingency is a safety factor to allow for unforeseen changes. Standard cost estimating by A/E or professional estimators use a built in contingency in the construction cost of ± 10%. Because that figure is included in the construction cost, this item is a project contingency for project changes and unanticipated costs in other budget areas
Recommended: 3-5%

Total Project Request is the total project cost, as a percent of the construction cost, except in extreme cases, should average out close to the same for all projects, and when the variables of land cost and site investigation are omitted. This item is the best overall gauge of the efficiency of the project.
Recommended: Not to exceed 130%

Note: These recommended, or guideline percentages differ from some of the averages and from some others previously suggested. They are based upon the above descriptions and are therefore more fixed and accountable.

APPENDIX D: DEFINITIONS OF MAINTENANCE
Adopted by the Bond Reimbursement & Grant Review Committee
April 18, 1997

Component
A part of a system in the school facility.

Component Repair or Replacement
The unscheduled repair or replacement of faulty components, materials, or products caused by factors beyond the control of maintenance personnel.

Custodial Care
The day to day and periodic cleaning, painting, and replacement of disposable supplies to maintain the facility in safe, clean and orderly condition.

Deferred Maintenance
Custodial care, routine maintenance, or preventive maintenance that is postponed for lack of funds, resources, or other reasons.

Major Maintenance
Facility renewal that requires major repair or rehabilitation to protect the structure and correct building code deficiencies, and shall exceed $25,000 per project, per site. It must be demonstrated, using evidence acceptable to the department that (1) the district has adhered to its regular preventive, routine and/or custodial maintenance schedule for the identified project request, and (2) preventive maintenance is no longer cost effective.

Preventive Maintenance
The regularly scheduled activities that carry out the diagnostic and corrective actions necessary to prevent premature failure or maximize or extend the useful life of a facility and/or its components. It involves a planned and implemented program of inspection, servicing, testing and replacement of systems and components that is cost effective on a life-cycle basis.

Renewal or Replacement
A scheduled and anticipated systematic upgrading of a facility system or component to rehabilitate it to a renewed functioning standard.

System(s)
An assembly of components created to perform specific functions in a school facility, such as a roof system, mechanical system or electrical system.

APPENDIX E: WAIVER OF PARTICIPATING SHARE/IN-KIND CONTRIBUTIONS
Department of Education Guidelines
Updated April 25, 1997

Current law - AS 14.11.008(d) - requires that a district provide a participating share for all school construction and major maintenance projects funded under AS 14.11. The department administered all funds for capital projects appropriated to it under the guidelines of AS 14.11 and 4 AAC 31. The following points should be considered by those districts requesting a waiver of the local participating share

1. A district has three years before and after the appropriation to fulfill the participating share requirement.

A review of the annual financial audits and school district budgets indicate that no district is in a financial condition which warrants a full waiver. Local dollars are available to fund all or a portion of the match during the six years. Districts continue to generate and budget for, local interest earnings, facility rental fees and other forms of discretionary revenue adequate to fund some or all of the required local match. If properly documented and not already funded by AS 14.11, prior expenditures for planning, design, and other eligible costs may be sufficient to meet the match requirement.

2. Both the administration and the Legislature have strong feelings that local communities should at least be partially engaged in the funding of projects.

In recognition of the inability of some communities to levy a tax or raise large amounts of cash from other sources, the legislation provides an opportunity for in-kind contributions, in-lieu of cash. All districts need to make a directed effort to provide the local match, utilize fund balances and other discretionary revenue, consider sources of in-kind contributions, document that effort and then request a full or partial waiver-as necessary.

3. All waiver requests require sufficient documentation.

Requests should be accompanied by strong, compelling evidence as to overall financial condition of the school district and in the case of a city/borough school district, the financial condition of the city/borough as well. The attachments should include, at a minimum, cash account reconciliation's, balance sheets, cash investment maturity schedules, revenue projection, cash flow analysis and projected use of all fund balances and documentation in support of attempts to meet the local match. Historical expenditures do not provide sufficient evidence of future resource allocations. Consideration should be given to new and replacement equipment purchases, travel and other expenditures that support classroom activity, but may be delayed until the local match is funded. Each district has an opportunity to help itself and provide a safe, efficient school facility through shared responsibility.

4. Districts may request consideration of in-kind contributions of labor, materials or equipment.

Under regulation 4 AAC 31.023 (d) in-kind contributions are allowed. This also affords an opportunity for community participation through contributions to the art requirements for new buildings or other means. This option should be fully explored, as well as the documentation mentioned above, prior to requesting a waiver of all or part of the participating share.

APPENDIX F: Type of Space Added or Improved
Adopted by the Bond Reimbursement & Grant Review Committee
April 18, 1997

Category A - Instructional or Resource

Kindergarten
Elementary
General Use Classrooms
Secondary
Library/Media Center
Special Education
Bi-Cultural/Bilingual
Art
Science
Music/Drama
Journalism
Computer Lab/Technology Resource
Business Education
Home Economics
Gifted/Talented
Wood Shop
General Shop
Small Machine Repair Shop
Darkroom
Gym

Category B - Support Teaching

Counseling/Testing
Teacher Workroom
Teacher Offices
Educational Resource Storage
Time-out Room
Parent Resource Room

Category C - General Support

Student Commons/Lunch Room
Auditorium
Pool
Weight Room
Multipurpose Room
Boys Locker Room
Girls Locker Room
Administration
Nurse
Conference Rooms
Community Schools/PTA Administration
Kitchen/Food Service
Student Store

Category D - Supplementary

Corridors/Vestibules/Entryways
Stairs/Elevators
Mechanical/Electrical
Passageways/Chaseways
Supply Storage & Receiving Areas
Restrooms/Toilets
Custodial
Other Special Remote Location Factors
Other Building Support

Alaska Department of Education Capital Improvement Project Application
Subjective Rating Form
FY-00

Reference:
Eligibility and Scoring

District:: _____
School: _____
Project Title: _____

Fund: _____ Category: _____
Phase: _____ Maximum Points: _____
Rator: _____ Date: _____

Note: The number in parenthesis refers to the question with primary applicability on the CIP application form. Also, points for elements two through eight will be weighted to apply the each specific category of a mixed-scope project.

Max Points		School Construction A, B, E, F	Major Maintenance C, D
20	**1. Effectiveness of preventive maintenance program** (6)	_____	_____
50	**2. Emergency** (16)	_____	_____
50	**3. Seriousness of life/safety and code conditions** (16/19/20)	_____	_____
40	**4. Existing space fails to meet or inadequately serves existing or proposed elementary or secondary programs** (20) A. Mandated Program = 40 points B. Facility inadequately serves local existing program = 20 points C. Fails to provide space for new approved local program = 15 points	_____	_____
30	**5. Reasonableness & completeness of cost estimate** (21)	_____	_____
30	**6. Relationship of the project cost to the annual operational cost savings** (20)&(21)	_____	_____
30	**7. Thoroughness in considering alternative facilities & options** (30)&(31)	_____	_____
30	**8. Adequacy of documentation** (All)	_____	_____
280	**Total Points**	_____	_____

Alaska Department of Education Capital Improvement Project Application
Objective Rating Form
FY-00

District_____
School_____
Project Title_____

Fund_____ Category_____
Phase_____ Maximum Points_____
Rator_____ Date_____

Max Points		School Construction A, B, E, F	Major Maintenance C, D
10	**Adequacy of fixed asset inventory system**	_____	_____
30	**District ranking** Project #1 request = 30 points, #2 = 27 points, #3 = 24 points Each additional project 3 points less	_____	_____
20	**Weighted average age of facility** A. 0-10 years = 0 points B. > 10 < 21 years = .75 / year in excess of 10 years C. > 21 < 30 years = 7.5+ 1.25 per year in excess of 20 years D. ≥ 30 = 20 points	_____	_____
30	**Previous AS 14.11 funding for this project based on % funded of the total project** A. 50% = 30 points B. < 50 % funding, the percentage of points earned = 2 times the prior funding %	_____	_____
30	**Planning & design phase has been completed** A. All required elements of planning = 10 points B. All elements planning + required elements of schematic design = 20 points C. All elements of planning and schematics + required elements of DDev. = 30 points	_____	_____
50	**Unhoused students today** A 100 % of capacity = 0 points B. > 100% of capacity = % of excess capacity times 50 C. 200 % of capacity = 50 points	_____	N/A
30	**Unhoused students in seven years (5 year Post-occupancy)** A 100 % of capacity = 0 points B. > 100% of capacity = % of excess capacity times 30 C. 200 % of capacity = 30 points	_____	N/A
15	**Avg expenditure for maintenance for each of last five years** If % ≤ 2, then % / 2 x 7 If 2 < % ≤ 3, then % / 3 x 10 If 3 < % ≤ 4, then % / 4 x 15 If % > 4, then 15	_____	_____
30	**Type of space added or improved** A. Instructional or resource 30 points B. Support teaching 25 points C. Food service, recreational and general support 15 points D. Supplemental 10 points	_____	N/A
245		Total Points _____	_____

Revised: 2/20/98

Project Eligibility Checklist

Date _____

District_____Project _____

Is The Project Eligible? Yes:_____ No:_____

The following items are requirements for projects to be eligible for grants or bond reimbursement as required by statute or regulations. Please check YES or NO if project application is in compliance or not.

	Primary Application Question(s)		Yes	No
A	All	The application is complete and all questions are fully answered - AS 14.11.013 (c)(3)(A)		
B	#3	The district CIP-6 year plan has been submitted - AS 14.11.011(b)(1)		
C	#4	A description of the district's fixed asset inventory system is provided - AS 14.11.011(b)(1)		
D	#5	Evidence of replacement cost property insurance - AS 14.11.011(b)(2)		
E	#13	If the district has requested a waiver of participating share, is the request attached? (If not applicable, leave blank) - AS 14.11.008(d)		
F	#6	A description of the district's preventive maintenance program - AS 14.11.011 (b)(1)		
G	#7	Evidence that project should be a capital improvement project and not preventive maintenance or custodial care - AS 14.11.011 (b)(3)		
H	#20	Evidence that project meets the criteria of one of the A-F categories - AS 14.11.013 (a)(1)		
I	#20	A detailed scope of work, project budget and documentation of need - AS 14.11.011 (b)(1)		
J	#20 & 21	The scope of work should include all information requested in the application instructions and should include life cycle cost analysis, cost benefit analysis or any other quantifiable analysis which demonstrates that the project is in the best interest of the district **AND** the state - AS 14.11.013 (c)(3)(C).		
K	#23,24,25, 26,27, & 28	For projects requesting additional space, evidence of space eligibility based on supported 2-year and 5-year-post-occupancy student population projection data - 4 AAC 31.021(c)(1)&(c)(3)		
L	#20,30 & 31	Evidence that the existing facility can not adequately serve or that alternative projects are in the best interest of the state – AS 14.11.013 (c)(3)(B)		
M	#30 & 31	Evidence that situation can not be relieved by adjusting service area boundaries and transportation - 4 AAC 31.021(c)(2)		
N	#30 & 31	Evidence that situation can not be relieved by adjusting service areas or boundaries - AS 14.11.013 (b)(6)		